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20427 U.S. PTO

PTO/SB/05

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| <p style="text-align: center;">UTILITY PATENT APPLICATION TRANSMITTAL</p> <p>(Only for new non-provisional applications under 37 CFR 153(b))</p> | Attorney Docket Number: | LTRM002US0 |
| | First Named Inventor or Application Identifier: | Kimberly A. Snider |
| | Title: | A System and Method of Managing a Position in Financial Stock Investments |
| | Express Mail Label No.: | EV 417743167 US |
| <p style="text-align: center;">APPLICATION ELEMENTS</p> <p>See MPEP chapter 600 concerning utility patent application contents.</p> | <p>ADDRESS TO: Mail Stop Patent Application Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450</p> | |

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10/807551**ACCOMPANYING APPLICATION PARTS**


1. **XX** Fee Transmittal Form (submitted in duplicate)
2. XX Applicant Claims Small Entity Status
3. **XX** Specification: Total Pages: 37
4. **XX** Drawing(s) (35 U.S.C. 113): Total Sheets: 13
5. XX Oath or Declaration: Total pages: 2
 - a. **XX** Newly executed (original or copy)
 - b. Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 17 completed)
 - i. Deletion of Inventor(s). Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. Application Data Sheet. 37 CFR 1.76
7. CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. **XX** Assignment papers (cover sheet & document(s))
9. CFR 3.73(b) Statement (when there is an assignee)
 - Power of Attorney
10. English Translation Document (if applicable)
11. Information Disclosure Statement. (IDS)/PTO-1449.
 - Copies of IDS citations
12. Preliminary Amendment
13. **XX** Return Receipt Postcard. (MPEP 503) (should be specifically itemized.)
14. Certified Copy of Priority Document(s) (if foreign priority is claimed.)
15. Nonpublication Request under 35 U.S.C. 122(b)(2)(B)(i). Must attach form PTO/SB/35 or its equivalent.
16. Credit Card Authorization for Payment

17. **If a Continuing Application:** (check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

 Continuation Divisional Continuation-in-part of prior application No.
 Prior application Information: Examiner Group/Art Unit

For Continuation or Divisional only: The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference. The incorporation **can only** be relied upon when a portion has been inadvertently omitted from the submitted application parts.

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| <p>Correspondence Address:</p> <p>37,141 Customer Number or Bar Code Label:</p> | <p>Correspondence Address:</p> <p>Heinz D. Grether 8911 N. Capital of Texas Hwy., Suite 3200 Austin, Texas 78759 Telephone: 512/ 279-3100 Facsimile: 512/279-3101</p> |
|--|---|


 Heinz D. Grether, Reg. No. 34,111

23 Mar 2004
 Date



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| <u>FEE TRANSMITTAL</u> (Submit in Duplicate) | <u>Application Title:</u> | A System and Method of Managing a Position in Financial Stock Investments |
| | <u>First Named Inventor:</u> | Kimberly A. Snider |
| | <u>Attorney Docket No:</u> | LTRM002US0 |
| | <u>Express Mail Label No.:</u> | EV 417743167 US |

METHOD OF PAYMENT**1. Deposit Account Authorization**

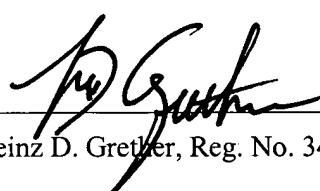
- a. **XXX** The Commissioner is hereby authorized to charge the filing fee and any deficiencies and credit any overpayments to:
- i. Deposit Account Number: **50-2726**
 - ii. Deposit Account Name: **Hulsey Grether + Fortkort, LLP**
- b. **XXX** The Commissioner is hereby authorized to charge any additional fees required under 37 CFR 1.16 and 1.17.
- c. **XXX** Applicant Claims Small Entity Status.

2. Payment Enclosed

- a. **XXX** Check
- b. ___ Credit Card
- c. ___ Money Order
- d. ___ Other

FEE CALCULATION

| Filing Fee Calculation | | | | | |
|------------------------|------------------|---------------------------------------|----------------------------|------------------------------|-------|
| Entity | Basic Filing Fee | Each Independent Claim in Excess of 3 | Each Claim in Excess of 20 | Multiple Dependent Claim Fee | Total |
| Small | \$385 | 0 x \$ 43 = 0 | 0 x \$9 = 0 | 0 x \$140 = 0.00 | \$385 |
| Other | \$770 | _____ x \$86 = _____ | _____ x \$18 = _____ | _____ x \$290 = _____ | |

XXX Total Filing Fee: \$385**XXX** Assignment Recording Fee: \$40.00**XXX** Total Fee Payment: \$425.00
Heinz D. Grether, Reg. No. 34,611